

Panel Packet

June 13, 2023



AB2849

Promote Ownership by Workers for
Economic Recovery Act
Study Panel



AB2849 Study Panel PANEL NOTICE/AGENDA

Meeting Time/Place

June 13, 2023, at 3:00 – 5:00 PM

Virtual only meeting via Zoom

This is a public meeting and the public may attend virtually.

Join Zoom Meeting:

Please click the link below to join the webinar:

<https://us06web.zoom.us/j/86001512695?pwd=elJzZUpLZVNCcGNKVDJSUTBMDnVCZz09>

Passcode: 461917

Or Telephone:

Dial:

USA 215 446 3656 US Toll

USA 888 363 4734 US Toll-free

Conference code: 203062

(For assistance, log in and raise hand or contact Communications@Labor.CA.GOV or (916) 653-9900)

Virtual participation:

To view or provide public comment via webinar, use the link below and use the raise-hand feature during public comment to be called on.

Agenda:

1.	Call to order by acting chairperson (5 minutes) <ul style="list-style-type: none">• Roll call• Action to approve June Panel Meeting Agenda	Jessica Pitt, LWDA, Assistant Secretary Healthcare Workforce
2.	Select a chairperson (5 minutes) <ul style="list-style-type: none">• Action to select chairperson	Jessica Pitt, LWDA, Assistant Secretary Healthcare Workforce
3.	Bagley-Keene and ethics training (30 minutes)	John Cumming, LWDA, Assistant General Counsel
4.	Review draft Panel Scope of Work (15 minutes) <ul style="list-style-type: none">• Action to approve Panel Scope of Work	Jillien Davey, LWDA, Policy and Data Research Data Specialist
5.	Review draft Study Scope of Work (30 minutes) <ul style="list-style-type: none">• Action to approve Study Scope of Work	Jennifer Sturdy, LWDA, Deputy Secretary of Evaluation
6.	Review proposed Study Partner (15 minutes) <ul style="list-style-type: none">• Action to approve proposed Study Partner	Jennifer Sturdy, LWDA, Deputy Secretary of Evaluation
7.	Agree on schedule, location(s), and next meeting date <ul style="list-style-type: none">• Proposed location(s)	Jillien Davey, LWDA, Policy and Data Research Data Specialist
8.	Opportunity for panel members to request agenda items for future panel meetings	Jillien Davey, LWDA, Policy and Data Research Data Specialist
9.	Public Comment on Non Agenda Items (5 minutes)	Chairperson
10.	Public meeting adjourns	

Meetings are open to the public except when specifically noticed otherwise in accordance with the Open Meeting Act. All times when stated are approximate and subject to change without prior notice at the discretion of the Panel unless listed as "time certain." Items may be taken out of order to maintain a quorum, accommodate a speaker, or for convenience. Action may be taken on any item listed on this agenda, including information-only items. The meeting may be canceled without notice.

Members of the public can address the board during the public comment session. Public comments will also be taken on agenda items at the time the item is heard and prior to the Board taking any action on said items. Total time allocated for public comment may be limited at the discretion of the board chair.

Members of the public may, but are not obligated to, provide their names or personal information as a condition of observing or participating in the meeting. When signing into the Zoom platform, participants may be asked for their name and email address. Participants who choose not to provide their names will need to provide a unique identifier such as their initials or another alternative, so that the meeting moderator can identify individuals who wish to make public comment; participants who choose not to provide their email address may utilize a fictitious email address like in the following sample format: XXXXX@mailinator.com or by calling in (instructions included in the Zoom meeting link above).

This Notice/Agenda of Panel Meeting and related documents are available on the LWDA website at <https://www.labor.ca.gov/promote-ownership-by-workers-for-economic-recovery-act-panel>. Please continue to access the LWDA website for current and updated information.



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Objectives

The Promote Ownership by Workers for Economic Recovery Act ([AB 2849, codified in Labor Code sections 10000-10010](#)) **establishes a panel** to study the creation of an **Association of Cooperative Labor Contractors, among other potential activities**, to facilitate the **growth of democratically-run high-road cooperative labor contractors**.

AB 2849 requires the study to consider how to:

- (1) Advance the goals of the Future of Work Commission within the association.
- (2) Incentivize the growth of the association and its members.
- (3) Promote tenets of democratic worker control, including, but not limited to, uniform hiring and ownership eligibility criteria, worker-owners working most hours worked, most voting ownership interest being held by worker-owners, most voting power being held by worker-owners, and worker-owners exercising their vote on a one-person, one-vote basis.
- (4) Ensure that the association's members offer high-road jobs, which include, but are not limited to, jobs with the right to organize and participate in labor organizations and jobs with minimum labor standards, such as a minimum wage in excess of the otherwise applicable minimum wage, a compensation ratio between the highest and lowest paid employees, minimum health expenditures, minimum retirement expenditures, and protections for individuals who have gone through the criminal justice system.

AB 2849 requires the panel, in preparing the study, to engage in a stakeholder process by which it consults with, at a minimum, organized labor, worker cooperatives, and business groups that can assess the opportunities and challenges associated with expanding workplace democracy.

Budget and Timeline

The panel has a total proposed budget of \$800,000 to fund the study and the panel (see [Budget Change Proposal here](#)). Funds may be made available July 1, 2023 pending Legislature approval and proposed activities must be completed by June 30, 2024.

Composition

Member Type	Panel Member Name, Affiliation
LWDA Secretary Designee (Ex Officio)	Jessica Pitt, Labor and Workforce Development Agency (LWDA) Assistant Secretary Healthcare Workforce
Director of GO-Biz Designee (Ex Officio)	Tara Lynn Gray, GO-Biz Office of Small Business Advocate Director
Appointee (Speaker of Assembly)	Ra Criscitiello, SEIU UHW
Appointee (President pro Tempore of the Senate)	Denise Tugade, SEIU UHW
Appointee (Future of Work Commission)	Maria Salinas, Los Angeles Area Chamber of Commerce

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Tasks

The panel members should expect to participate in at least the following tasks and in accordance with the [Bagley-Keene Open Meetings Act](#):

1. Complete Ethics and Sexual Harassment Training
2. Share panel materials
3. Actively participate in meetings following agreed-upon schedule
4. Develop and approve the study Scope of Work
5. Select and contract with a qualified study team
6. Review study deliverable drafts, provide feedback, and monitor study team performance to ensure study achieves objectives
7. Publish final study report in accordance with AB 2849 requirements

Location and Meeting Schedule

Timeframe	Action	Notes
June 13, 2023	Remote meeting	Panel will decide on meeting frequency, locations going forward
July 2023	In-person meeting, Location TBD	Temporary waiver of in-person meeting requirements expires, panel must meet in person if not extended
September 2023	In-person meeting, Location TBD	
December 2023	In-person meeting, Location TBD	
March 2024	In-person meeting, Location TBD	
May 2024	In-person meeting, Location TBD	
June 2024	In-person meeting, Location TBD	

Travel Reimbursement

LWDA and GoBiz panel members who participate through their existing positions in state government must submit their travel expense claims through their agency.

Any panel members from outside state government may request travel reimbursement through Labor and Workforce Development Agency, in accordance with state of California travel policies. LWDA will provide instructions and additional information for panel members seeking reimbursement.

California Public Records Act

Please note that the Panel's work is public business. With very limited exceptions, any documents or communications pertaining to Panel work, including items stored on personal devices, are subject to disclosure pursuant to a Public Records Act request.

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Background and Purpose

The Future of Work Commission Report – [A New Social Compact for Work and Workers](#) - lists five objectives that motivate this effort: (1) ensure the creation of sufficient numbers of jobs for everyone who wants to work, including by extending financial and technical assistance to mission-oriented businesses, (2) eliminate working poverty, including by creating supports for workers to organize in unions and worker associations as well as supporting “high-road” employment, (3) create a 21st-century worker benefits model and safety net, including by developing a portable benefits platform and encouraging apprenticeship and other skill-building programs, (4) raise the standard and share of quality jobs, including by creating a California Job Quality Incubator to support the increase of high-quality jobs, and (5) futureproof California with jobs and skills to prepare for technology, climate, and other shocks, including by providing incentives to the private sector to invest in worker training.

In response to these objectives, AB 2849 ([Chapter 808, Statutes of 2022](#)) enacts the **Promote Ownership by Workers for Economic Recovery Act**. In enacting the law, the Legislature found that:

*a California-focused federated worker cooperative system may advance these objectives by encouraging the expansion of **democratically run high-road cooperative businesses that promote equitable economic development, reduce inequality, and increase access to living-wage jobs**. Worker cooperatives have been shown to convey wealth building and other significant benefits to workers, including autonomy from larger economic forces, more resiliency during economic downturns, lower workforce turnover, greater voice in health, safety, and other workplace issues, and more equitable pay.*

AB 2849 (2022) **establishes a panel** to conduct a study regarding the creation of an **Association of Cooperative Labor Contractors** among other potential activities for the purpose of facilitating the growth of democratically run high-road cooperative labor contractors. AB 2849 requires the **study to consider specified issues, including how to promote tenets of democratic worker control and ensure that the association’s members offer high-road jobs**. AB 2849 (2022) requires the panel, in preparing the study, to engage in a stakeholder process by which it consults with, at a minimum, organized labor, worker cooperatives, and business groups that can assess the opportunities and challenges associated with expanding workplace democracy.

Objectives

The study objectives are to answer questions related to **understanding the benefits and sustainability of worker cooperatives to improve low-wage, low-skill worker outcomes**. This will include examining the business conditions and enabling factors that may support a successful and sustainable business model for democratically run high-road worker cooperatives.

The study will focus on a few key industries, such as: Allied health, rural hospital management, agriculture.

Phase 1 Study Objectives: In Phase 1, the research team will lead a study to Understand Benefits and Sustainability of Worker Cooperatives. The final deliverables will be a published Report and de-identified data on Understanding Benefits and Sustainability of Worker Cooperatives.

¹ For example, please reference <https://laborcenter.berkeley.edu/putting-california-on-the-high-road-a-jobs-and-climate-action-plan-for-2030/>

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Phase 1: Study design report

The Study Design Report will define (i) objectives, (ii) methods, (iii) data collection strategy, (iv) consultation strategy, (v) study limitations, (vi) ethics review process, (viii) workplan and milestones, and (ix) budget for Phase 1 Report. The Study Design Report will:

1. Include protocol for literature review based on existing literature and data available
2. If the AB 2849 Advisory Panel concurs, the study will separately analyze traditional workers' cooperatives and companies with ESOPs (employee stock ownership plans) that own all or most of the company. The study will not include ESOPs that have only a minority share of ownership.
3. Include determination of any primary data collection needs. For the key informant interviews, the study design report will include drafts of the questionnaire(s), informed consent statement(s), Data Management Plan for all personally identifiable information (PII) and/or sensitive data collected from human subjects, and plans for Institutional Review Board (IRB) review that ensure alignment of evaluation protocols and informed consents with United States Federal Policy for Protection of Human Subjects (Common Rule 2018).
4. Include best practices in research transparency and reproducibility, including consideration of reproducible workflow and data sharing feasibility

Phase 1: Report - Understanding Benefits and Sustainability of Worker Cooperatives. This report will focus on the following areas:

1. Chapter 1: Examine the effects of worker ownership by outcomes: (i) employees' outcomes such as compensation (wages, benefits, risk, etc.), effects on equity and poverty, job security, and employee voice and satisfaction; (ii) customers' outcomes such as product quality and innovation; (iii) lenders' outcomes such as loan repayment; and community outcomes such as pollution. Qualify when results are more or less likely to be due to the causal effect of worker ownership vs. some other causal explanation (e.g., hiring workers with high or low market wages).
2. Chapter 2: Examine standards for "high road" cooperative, such as wages, working conditions, employee training in making management decisions, ownership structures, and the mechanisms for employee decision-making and voice. There is substantial evidence that the effects of employee ownership depend on management practices. That is, employee ownership increases productivity more when workers have appropriate skills, incentives and decision-making authority. This section will examine which standards should exist for 'high road' coops, including but not limited to the tenets and standards identified in Labor Code section 10010(d)(3)-(4)
3. Chapter 3: Examine barriers to employee ownership and high-road strategies. Examples of potential barriers include transaction costs and legal barriers; employees' lack of capital to buy into a coop; the lack of asset diversification faced by employee-owners; schools that do not teach skills needed by employee owners (e.g., reading a financial statement), banks' unfamiliarity with coops; and so forth.
4. Chapter 4: Examine enabling factors that promote cooperative success. The study will examine what regulations, financial market conditions, labor market conditions, and institutions facilitate worker ownership in settings where employee ownership is more common, such as the famous Mondragon network in Spain.
5. Chapter 5: Examine policies and interventions California could implement to promote high-road worker cooperativities.
 - a. For example, the study will examine how a potential Association of Cooperative Labor Contractors might incentivize, support, and sustain democratically run high-road worker

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cooperatives. More generally, the study will examine policy levers that might cost-effectively address the barriers identified, building on the lessons of other models of worker ownership described above.

- b. Other policies might include: State support for an existing association of worker cooperatives; creating standard contracts (for incorporation, for worker-owners, or for banks) to reduce transaction costs, and so forth. If the study identifies skill gaps for employee-owners, it might examine working with junior colleges, existing associations of cooperatives, and/or online training providers to provide appropriate training for employee-owners. If employees' lack of asset diversification is a major concern, the study could explore pension products that reduce an employee-owner's 401k exposure to the sector of their cooperative.

6. Chapter 6: Present evidence gaps and a learning agenda to fill those gaps.

Phase 1: Study Methods: The above will be based on three research methods:

1. **Literature review.** The literature review will be done in consultation with experts such as Douglas Kruse² and Joseph Blasi³, the two leading academics working on employee ownership.
2. **Expert interviews.** The interviews will include representatives from organized labor, employees at existing cooperative and the leadership and members of existing associations of worker cooperatives (see table 1).
3. **Interviews and focus groups with employee-owners and with employees of matched capitalist firms.** The study will also hold two focus groups in each of 3 industries. In each industry, one focus group will have employee-owners, and one will have employees of capitalist firms of a similar size. The study partner will select the focal industries in cooperation with the AB 2849 Advisory Panel.

Appendices to this report will outline the results of each research method.

Table 1: Examples of associations of worker cooperatives

National & international

- ESOP association <https://www.esopassociation.org/>
- US Federation of workers cooperatives <https://www.usworker.coop/en/>
- Democracy at Work Institute: <http://institute.usworker.coop/>
 - Survey of coop L c. 2018; good to see results.
- Worker Coop Conference: <https://www.conference.coop>
- International Cooperative Alliance: <http://ica.coop/>
- Project Equity: <https://project-equity.org>
- Start.coop - Cooperative Leadership Training <https://www.start.coop/>
- National Center for Employee Ownership (NCEO) <https://www.nceo.org/>

Local & regional networks outside California

- Mondragon cooperative network in Spain <https://www.mondragon-corporation.com>
- Eastern Worker Cooperative Conference: <http://east.usworker.coop/>

² <https://smlr.rutgers.edu/faculty-staff/douglas-l-kruse>

³ [Joseph R. Blasi | Rutgers School of Management and Labor Relations](#)

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- NYC Network of Worker Cooperatives <https://nycworker.coop>

Networks of cooperatives within California

- Network of Bay Area Cooperatives: <http://nobawc.org/>
- Arizmendi Association of Cooperatives <http://www.arizmendi.coop>
- California Center for Cooperative Development: <http://www.cccd.coop/>

Potential case studies

- Farmworker Institute of Education & Leadership Development ([FIELD](#))
- [AlliedUp](#) cooperative of health care workers

Note: We may not interview all of these associations. They are listed here as examples.

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Phase 2: Applied Research on effectiveness of intervention(s) on benefits and sustainability of worker cooperatives. The research study will be guided by:

1. Phase 1 Report literature review and interviews will suggest several hypotheses about barriers facing high-road worker cooperatives and about potential cost-effective means to address these barriers.
2. In consultation with the AB 2849 Panel, the study partner will develop applied research projects to shed light on these hypotheses.
 - a. For example, assume that experts and cooperative members claim that business-to-business customers are often leery of worker-owned suppliers. The study might survey some business-to-business customers in focal sectors about their perceptions of worker-owned suppliers. The study might also perform quasi-experiments, testing if providing additional information on the performance of worker-owned suppliers altered these potential customers' willingness to purchase from worker cooperatives.
 - b. Similar surveys and quasi-experiments could address potential employees and/or lenders.
3. The findings of the Phase 2 Applied Research will inform any update to the policy analysis in Phase 1 Report.

Phase 2: Study Methods: The above will be based on three research methods:

1. **Survey of worker-owners and employees.** Depending on the agreed intervention, the study will also require a survey of worker-owners, and a sample of employees in capitalist enterprises in similar industries.

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Tasks

Continuous

1. **Progress Reporting** - Produce quarterly 1-page Progress Reports to update on deliverable status and costs/burn rate (total expected: 6 maximum)
2. **Project Management support:** In accordance with the [Bagley-Keene guide](#), support the Advisory Panel with project management activities including:
 - a. Provide administrative support to the Panel, managing the Panel's budget, securing locations for Panel meetings and workgroup meetings, arrange Panel member travel, prepare travel claims for reimbursement, develop, and distribute meeting agendas and briefing packets for members, and prepare minutes of Panel meetings and working group sessions.
 - b. Assist with work plan for the Panel based on study timelines and decision points.
 - c. Develop a meeting calendar and a timeline for producing the Panel's major work products;
 - d. Identify and serve as liaisons with subject matter experts and arrange for expert testimony that informs the work of the Panel

Study Deliverables

1. **Phase 1: Study Plan and related materials (July-September 2023)** – Plan must define (i) chapter objectives, (ii) methods, (iii) data collection strategy, (iv) study limitations, (v) ethics review process (if engaging directly with human subjects), (vi) workplan and milestones, and (vii) budget
 - a. Includes protocol for literature review and any meta-analysis based on existing literature and data available
 - b. Includes determination and workplan of primary data collection needs. If primary data collection is required:
 - i. Includes development of questionnaire(s), informed consent statement(s), Data Management Plan (if collecting at personally identifiable information (PII) and/or sensitive data directly from human subjects), plans for Institutional Review Board (IRB) review ensure alignment of evaluation protocols and informed consents with United States Federal Policy for Protection of Human Subjects (Common Rule 2018)
 - ii. Includes assessment of need for study participant compensation and/or incentives to ensure sufficient representation rates for evaluation sample
 - c. Includes best practices in research transparency and reproducibility, including consideration of reproducible workflow and data sharing feasibility
 - d. Present to the AB 2849 Advisory Panel for review/comment. The study team is responsible for documenting comments and responses to comments.
 - e. The study team should expect the final Study Report Plan and related materials be made publicly available and will ensure any identifiable information is assessed before publication.
2. **Phase 1: Report (September 2023-May 2024)** – Conduct analysis and reporting on findings in alignment with agreed Study Plan based on outline provided in Study Objectives above.
 - a. Ensure comprehensive literature review and meta-analysis of available evidence (if feasible) to respond to key topic areas defined above.
 - b. If applicable, ensure conduct primary data collection in alignment with best practices (if applicable, described below).
 - c. Present findings to the AB 2849 Advisory Panel on a quarterly basis. The study team is responsible for documenting comments and evaluator responses to comments
 - d. Assess feasibility of de-identifying data that underlies analysis report to support access to data (public or restricted-access use) for reproducibility and additional analysis

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- i. This should align with efforts to work toward California’s Open Data Policy, while also maintaining protection of confidentiality and privacy following Article 1 of the California Constitution, the Information Practices Act of 1977, the Information Practices Act (Civil Code Section 1798 et seq.), the Public Records Act (Government Code Section 6250 et seq.), Government Code Sections 11015.5 and 11019.9, and other applicable laws pertaining to information privacy.
 - e. Support dissemination efforts including internal and external presentations, including community engagement to share findings from study with the AB 2849 partners.
 - f. The study should expect the Report be made publicly available.
- 3. **Phase 2: Study Plan and related materials (July-September 2024)** – Develop study design for a rigorous, prospective study of selected intervention(s) to test effectiveness on benefits and sustainability of worker cooperatives on outcomes of interest. Study Design must define (i) chapter objectives, (ii) methods, (iii) data collection strategy, (iv) study limitations, (v) ethics review process (if engaging directly with human subjects), (vi) workplan and milestones, and (vii) budget
 - a. Includes protocol for literature review and any meta-analysis based on existing literature and data available
 - b. Includes determination and workplan of primary data collection needs. If primary data collection is required:
 - i. Includes development of questionnaire(s), informed consent statement(s), Data Management Plan (if collecting at personally identifiable information (PII) and/or sensitive data directly from human subjects), plans for Institutional Review Board (IRB) review ensure alignment of evaluation protocols and informed consents with United States Federal Policy for Protection of Human Subjects (Common Rule 2018)
 - ii. Includes assessment of need for study participant compensation and/or incentives to ensure sufficient representation rates for evaluation sample
 - c. Includes best practices in research transparency and reproducibility, including consideration of reproducible workflow and data sharing feasibility
 - d. Present to the AB 2849 Advisory Panel for review/comment. The study team is responsible for documenting comments and responses to comments.
 - e. The study team should expect the final Study Report Plan and related materials be made publicly available and will ensure any identifiable information is assessed before publication.
- 4. **Phase 2: Applied Research Report (September 2024-June 2026)** – Lead a rigorous, prospective study of selected intervention(s) to test effectiveness on benefits and sustainability of worker cooperatives on outcomes of interest.
 - a. Align methods with agreed Study Plan.
 - b. If applicable, ensure conduct primary data collection in alignment with best practices (if applicable, described below).
 - c. Ensure recommendations are made to AB 2849 Advisory Panel on existing evidence gaps and recommendations for future evidence generation efforts.
 - d. Present findings to the AB 2849 Advisory Panel. The study team is responsible for documenting comments and evaluator responses to comments
 - e. Assess feasibility of de-identifying data that underlies analysis report to support access to data (public or restricted-access use) for reproducibility and additional analysis
 - i. This should align with efforts to work toward California’s Open Data Policy, while also maintaining protection of confidentiality and privacy following Article 1 of the California Constitution, the Information Practices Act of 1977, the Information

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Practices Act (Civil Code Section 1798 et seq.), the Public Records Act (Government Code Section 6250 et seq.), Government Code Sections 11015.5 and 11019.9, and other applicable laws pertaining to information privacy.

- f. Support dissemination efforts including internal and external presentations, including community engagement to share findings from study with the AB 2849 partners.
- g. The study should expect the Business Impact Analysis Report be made publicly available.

Any study components that require primary data collection will include the following:

5. **Primary data collection** – Lead data collection based on approved Study Plan and Questionnaire

- a. Align questionnaire(s)/survey instrument(s) with Study Plan and alignment with key topics areas defined above.
 - i. The study team should aim for a reasonable burden of time for the data collection. Any interviews more than 60 minutes should be considered carefully and align with best practices for ensuring data quality and study participant’s needs and constraints.
- b. Coordinate with State to ensure language needs of target population are met. While survey instruments will be created in English, study must assess translation and back translation needs given the expected participant population (Spanish, Tagalog, Mandarin, Cantonese, Vietnamese, other)
- c. Ensure alignment with study protocols, informed consent, Data Management Plan to ensure evaluation is conducted in ethical and responsible manner
- d. Ensure quality assurance process is established to assess and maintain high quality data during collection and entry
- e. Ensure data collection and management maintains required levels of protection of privacy and confidentiality as per agreed informed consent statements
- f. Ensure appropriate and secure distribution of any necessary compensation and/or incentives to study participants as per the Study Plan

Deliverables and Milestones

The evaluation timeline and deliverables schedule will be based on the final approved Evaluation Design Report with data collection timing linked to the theory of change and reasonable expectations on when to measure outputs and outcomes. For this RFP, the proposed schedule is:

Deliverable	Expected Date
Project Management – organizing continuous Advisory Panel meetings, agenda, minutes in accordance with Bagley-Keene	July 2023-July 2024
Phase 1: Study Plan and related materials (questionnaires, informed consent, protocol)	July-September 2023
Phase 1: Report - Understanding Benefits and Sustainability of Worker Cooperatives	September 2023-May 2024
Draft	Quarterly presentations
Final	May 2024
Phase 1: Dissemination and submission of all final materials (Report, de-identified data, other documentation)	May-September 2024
Phase 2: Study Plan and related materials (questionnaires, informed consent, protocol)	July-September 2024

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Phase 2: Report - Applied Research to test effectiveness of intervention(s)	September 2024-June 2026
Draft	Quarterly presentations
Final	May 2026
Phase 2: Dissemination and submission of all final materials (Report, de-identified data, other documentation)	June 2026

Timeline and Budget: The initial period of performance will be **July 1, 2023 – September 30, 2024**. AB2849 requires the panel to complete the study and make it publicly available on the internet by **June 30, 2024**. The total budget for the initial period of performance is \$631,677 with 15-month period of performance.

Depending on performance and available funding, the period of performance may be extended **October 1, 2024-June 30, 2026**. This would be to fund the Applied Research defined by the primary study and Report 1 to build evidence on the effectiveness of selected intervention(s) to promote benefits and sustainability of worker cooperatives.

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DRAFT Study Team Proposal

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Proposal: LWDA proposes to contract with the UC Berkeley Institute for Business and Social Impact (IBSI) for Professor David I. Levine to lead the research study to achieve objectives under AB 2849 Promote Ownership by Workers for Economic Recovery Act. In addition, IBSI will provide project management support for the AB2849 Panel. The contract is proposed for \$631,677 for a period of performance from July 1, 2023-September 30, 2024.

About IBSI: The [Institute for Business and Social Impact \(IBSI\)](#) builds upon the historic commitment of the University of California Berkeley's Haas School of Business to excellence in research and public education. IBSI focuses on the design and testing of innovative, impactful, and evidence-based solutions to social and environmental challenges. The goals of IBSI are to:

- Build a more equitable, inclusive and sustainable society.
- Train leaders who can work across traditional boundaries between nonprofit organizations, for-profit enterprise and the public sector to achieve social impact.
- Promote social entrepreneurs to create new solutions to social and environmental challenges.

About the proposed Principal Investigator: David I. Levine is the Eugene E. and Catherine M. Trefethen Professor of Business Administration at Berkeley Haas, where he chairs the Economic Analysis and Policy Group. He is past chair of the University's Center for Health Research, research board of the Center for Responsible Business, and of the Advisory Board for Center for Effective Global Action (CEGA). Dr. Levine has published articles on compensation, workplace diversity, and employee involvement in refereed journals including *American Economic Review*, *Economic Journal*, *Industrial Relations*, *Industrial and Labor Relations Review*, *Journal of Human Resources*, and *Journal of Labor Economics*. Levine has taught at the Haas School since receiving his Ph.D. in economics from Harvard University in 1987. Levine has also had visiting positions at the Sloan School of Management at MIT, the U.S. Department of Labor, and the President's Council of Economic Advisors Economic Advisers.

Dr. Levine's books on workplaces and workplace policy include:

- *Carve-outs in Workers' Compensation Programs in California Construction*, with Cristian Echeverria, Frank Neuhauser, Richard Reuben, and Jeffrey S Petersen, Upjohn Institute, Kalamazoo MI, 2003
- *How New is the "New" Employment Contract?* with Dale Belman, Gary Charness, Erica Groshen, and KC O'Shaughnessy, Upjohn Institute, Kalamazoo MI, 2002 (Listed as "Noteworthy" by the Princeton Industrial Relations Section)
- *The American Workplace: Skills, Pay, and Employee Involvement*, editor, with Casey Ichniowski, Craig Olson, and George Strauss, Cambridge University Press, 2000
- *Working in the 21st Century: Government Policies to Promote Opportunity, Learning and Productivity in the New Economy*, ME Sharpe, Armonk NY, 1998
- *Reinventing the Workplace: How Business and Employees Can Both Win*, Brookings Institution, Washington DC, 1995

DAVID I. LEVINE

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EDUCATION

- 1987 Ph.D. Harvard University: Economics
- 1985 A.M. Harvard University: Economics
- 1982 B.A. University of California, Berkeley: Economics and Computer Science

EMPLOYMENT

- Haas School of Business, University of California, Berkeley: Eugene E. and Catherine M. Trefethen Professor of Business Administration, 2006-present
 - Previously Professor 2002-06, Associate Professor 1993-2002, and Assistant Professor 1987-1993
- Council of Economic Advisers: Senior Economist, 1994-1995
- Office of the American Workplace, U.S. Department of Labor: Senior Research Economist, 1994
- Sloan School, MIT: Visiting Scholar, Industrial Relations Group, 1991
- Harvard University: Teaching Fellow, 1983-86
- NBER: Research assistant for Professor Lawrence Summers, 1984
- Programmer for Intermetrics (1982), Apple Computer (1979-81) and Intel (1978)

OTHER AFFILIATIONS

- Development Engineering Graduate Group, University of California, Berkeley: Executive Committee, 2013-present.
- Graduate Group in Health Services and Policy Analysis (HSPA), University of California, Berkeley: Executive Committee, 2008-present.
- WE CARE Solar: Scientific Advisory Board, 2008-present.
- Goodguide: Scientific Advisory Board, 2007-present.
- Economic Analysis and Policy Group, Haas School of Business, University of California, Berkeley: chair, 2008-2011.
- Ombudsman Committee, UC Berkeley, 2008-12.
- Center for Effective Global Action (CEGA), University of California: Founding chair of the Advisory Board, 2006-2011.
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“Dole Tax Cuts Ignore Deficits, Investment, Education, Future,” with Brad DeLong, *San Jose Mercury News*, August 26, 1996, p. 5E.

“Model Changes at NUMMI (A) and (B),” with Paul S. Adler and Barbara Goldoftas, teaching cases, USC, 1995.

“Government Should Take Lead in Quantifying Workplace Skills,” *San Jose Mercury News*, December 25, 1995, p. 3F.

“Not Such a Capital Idea,” with Brad DeLong, *San Francisco Chronicle*, December 5, 1995, p. A23.

“Welfare Reform that Makes Poor Kids Poorer Will Never Pay Off,” with Brad DeLong, *Los Angeles Times*, Sunday Forum, October 15, 1995, p. D2.

Book review of Darcy D’Art, Economic Democracy and Financial Participation, *Journal of Economic Behavior and Organization*, 1993.

“The Quality Movement,” *Dollars and Sense*, September 1992, pp. 20-22. A short version appeared in *Cal Business*, June 1992.

“Management Education is an Oxymoron,” *Cal Business Weekly*, May 1992.

Book review of Tom Korver, The Fictitious Commodity: A Study of the U.S. Labor Market 1880-1940 for, *Journal of Labor History*, **32**, 4, Fall 1991, pp. 624-625.

“Participation, Productivity, and the Firm’s Environment,” *California Management Review*, Summer 1990, pp. 86-100.

“Japan’s Other Export,” *Dollars and Sense*, September 1990, pp. 18-21.

“No Voice For Workers,” with Laura D’Andrea Tyson, *Dollars and Sense*, no. 152, December 1989, pp. 20-22. Reprinted in *Microeconomics 91/92*, Don Cole, ed., Dushkin Publishing Group, Guilford CN, 1990; *Real World Macro*, seventh and eighth editions, and *Real World Micro*, third edition Economic Affairs Bureau, Somerville MA, 1990, 1991, and 1992.

“Sweden: Full Employment in a Free Market Economy,” *Labor Center Reporter*, no. 251, November 1988.

“Capitalism, Swedish Style,” *Dollars and Sense*, no. 140, October 1988, pp. 20-22. Reprinted in *Real World Macro*, sixth edition, Economic Affairs Bureau, Somerville MA, 1989.

“Why Comparable Worth Won’t Upset the Marketplace,” *San Francisco Chronicle*, March 7, 1988, p. C6.

EDUCATIONAL MATERIALS ABOUT HEALTH

(Materials available at <http://hygieneheroes.berkeley.edu>)

Curriculum

- Unit 1: Handwashing
- Unit 2: Safe Water
- Unit 3: Sanitation
- Unit 4: Preventing colds and flu

- Unit 5: Avoiding malaria

Each unit contain vivid demonstrations, experiments, class participation stories, games, activities for students to do with their families (to spread safe behaviors home), and so forth.

Stories, games, scripts and videos

- *Grandma wants you to eat cookies*, illustrated by Bernadette Justine McVerry: Board game about water, sanitation and hygiene
- *Gerry the Germ goes to School*: Class participation story about handwashing, for ages 3-6
- *Monster Maruti*: Class participation story about traffic safety
- *Baby is Happy*: An early reader about washing hands with soap
- *Baby Sleeps*: An early reader about anti-mosquito bed nets
- *The Sad Tooth*: An early reader about brushing teeth
- *Gerry the Germ goes to School*: Comic book about handwashing
- *Tenali Rama gets in Trouble*, illustrated by Jacqueline Zhou: Illustrated story about handwashing
- *The Monkey Prince*, with Echo Yupan Lu, illustrated by Nazia Rahman: Illustrated story about safe water
- *Gerry the Germ gets Wet*, with Benji Levine, illustrated by Jennifer Kotler: Illustrated story about safe water
- *Gerry the Germ*, with Benji Levine, illustrated by Jennifer Kotler: Illustrated story about safe water, sanitation and hygiene
- *The Returns of Gerry the Germ*, with Echo Yupan Lu, illustrated by Charlotte Passot: Illustrated story about preventing colds and flu
- *Munching Maruti*, with Padma Priya: Story about traffic safety
- *The Red Fairy*, by Rawan AbuShaban: Story about menstrual hygiene
- *The Bully*: 3-panel comic about handwashing
- *Womb with a View*: 3-panel comic about antenatal care
- *General Trouble gets Sprayed*: Script about indoor residual spraying against malaria
- *The Disgusting Box* (with Kaniz Janat): Video about safe water

HONORS

- Earl Cheit Outstanding Teaching Award, Haas School of Business, 1990 (undergraduate), 2000 (Evening MBA).
- Listed in *Who's Who in Economics*, a selection based on citation count.
- Listed, *Who's Who of Professionals*.
- Member, "6.0" Teaching Honor Society (for mean, or more recently median, of 6 out of 7) several dozen times since 1988.
- Phi Beta Kappa

- Omicron Delta Epsilon Economics Honor Society
- University of California Alumni Scholar

GRANTS

- “Replication grant.” BITSS, 2015 (\$3000)
- 2015-17, CEGA EASST, “Working with Village Health Teams to Increase ORS Use in Uganda: A Randomized Controlled Trial,” with Will Dow; John Bosco Asimwe; Zachary Wagner, University of Makerere, Uganda, EASST Collaborative, 2014-2017 (\$49,000)
- “Randomized control trial of a risk-free sample purchase for inorganic fertilizer in Uganda.” with Annet Adong, EPRC, Uganda, EASST Collaborative, 2014-2017 (\$49,000)
- “Distribution to the Rural Poor,” co-PI with Joseph Arineitwe Ndemere, EASST Collaborative, CEGA, 2012-13 (\$25,000)
- Travel grant, CEGA, 2012 (\$3000)
- “Cookstoves in Uganda”, CEGA, 2012 (\$8000).
- “Behavior Change Interventions to Improve the Acquisition and Correct Use of Improved Cookstoves,” (co-PI, with Impact Carbon), USAID TRAction, 2011-2013.
- “Piloting Novel Sales Contracts,” Goggio Family Foundation, 2009-11.
- “Courting Safe Behaviors: Testing Courtyard-based Safe Water and Hygiene Interventions in Urban Bangladesh” (with ICDDR,B), International Initiative for Impact Evaluation (3ie), 2010-2012.
- “Improved Cookstoves in the Tumu Region of Ghana” (with CSIR and Plan-Ghana), International Initiative for Impact Evaluation (3ie), 2009-2011.
- “Preferences for Point-of-Use Water Treatment” (with ICDDR,B), Swedish International Development Agency (SIDA), 2008-9.
- “Evaluating a Telecommunications Intervention to Promote Literacy and Fight Poverty in Senegal” (with TOSTAN), UNICEF, 2009-10.
- “Identification of Appropriate Postharvest Technologies for Improving Market Access and Incomes for Small Farmers in Sub-Saharan Africa and South Asia,” (with UC Davis and the World Food and Logistics Organization), Bill and Melinda Gates Foundation, 2009-10.
- “Roundtable on safe stoves,” Berkeley Institute on the Environment, UC Berkeley, 2008-9.
- “A Randomized Controlled Trial of Solar Ovens in Senegal,” Sustainable Products and Services, UC Berkeley, 2008-9.
- “A Randomized Controlled Trial of Micro-Health Insurance in Cambodia,” grants from BASIS Assets and Market Access Collaborative Research Support (USAID) 2007-2010;

AFD (Agence française pour le développement) 2007-2010, and the Coleman Fung Foundation 2007-2009.

- “Choosing and Using Safe Water Products,” (with Jeff Alert of Aquaya.org), The P&G Fund of The Greater Cincinnati Foundation and The Blum Center for Developing Economies, 2007-8.
- “Evaluating The Hunger Project’s Scaling-up of Epicenter Strategy in Ghana,” (with Chris Udry, Dean Karlan and John Anarfi), Robertson Foundation, 2007-2015.
- “How Industrialization in China has affected the Elderly,” Center on the Economics and Demography of Aging, University of California at Berkeley, 2003-2004.
- “Measuring Corporate Responsibility,” Haas Family Fund, 2004-6.
- “The Effects of Age Diversity in the Workplace,” Center on the Economics and Demography of Aging, University of California at Berkeley, 2003-2004.
- “Diversity at Work: Effects on Workers, Customers and Employers,” Russell Sage Foundation, 2003-4.
- “Diversity and Performance,” Sloan Foundation and BOLD, with Jonathan Leonard, 2001.
- “A Follow-up Evaluation of the *Progresá* Child Welfare Program,” National Institute of Child Health and Human Development (NICHD), 2001-2006, with Paul Gertler and others.
- “The Effects of Industrialization on Children,” Center on the Economics and Demography of Aging, University of California at Berkeley, 2001-2002.
- “Financial and Social Capital as Protection Against Health Shocks in Indonesia,” Center for Health Research, U.C. Berkeley, 2001-02.
- “Investments in Children in Indonesia: Lessons to be Learned from the Economic Crisis,” Research Bridging Grant from the Committee on Research, U.C. Berkeley, 1999-2000.
- Subcontractor on *Mortgage Lending Discrimination: What Do We Know?* Urban Institute grant from the U.S. Department of Housing and Urban Development, 1998.
- COHRE, “Causes and Consequences of Employee Turnover,” with Jonathan Leonard, 1998-99.
- Sage Foundation, “Perceptions of the Fair Employment Contract: Evidence from a Quasi-Experiment,” with Gary Charness, 1998-99.
- Upjohn Institute, “Changes in Careers, Compensation and Internal Labor Markets at Large American Employers,” with Dale Belman and K.C. O’Shaughnessy, 1998-99.
- California Commission on Health and Safety and Workers’ Compensation, “Evaluation of Workers’ Compensation Programs Established Pursuant to Labor-Management Agreements in the Construction Industry,” 1997-8.

- Committee On Teaching, Office of Educational Development, U.C. Berkeley, Classroom Technologies Grant: 1995-1996.
- Sloan Foundation, “What Works at Work,” with the National Center for the Workplace, 1993-5.
- Sloan Foundation, “Employee Involvement and Total Quality Management in the 1990’s,” with Edward E. Lawler III, Gerald Ledford, and Susan Mohrman, 1992-4.
- Consortium on Competition and Cooperation, “Human Resource Policies and Corporate Performance in the United States and Japan,” 1991-92.
- Consortium on Competition and Cooperation, “Cooperative Supplier Relations: An Exit-Voice Approach,” 1990-91.

COURSES TAUGHT

- Design, Evaluate and Scale Development Technologies (MBA, joint with Engineering & Alice Agogino – new course)
- Macroeconomics in the Global Economy (Undergraduate and MBA)
- Business Strategies for Emerging Markets (MBA – new course)
- Freshman seminars (new courses):
 - Behavior change in global public health: Can games and stories help?
 - The New Employment Contract
 - Films about Work
- Bargaining and Negotiation (Undergraduate)
- Human Resource Strategies (MBA – new course)
- Industrial Relations (Undergraduate and Ph.D.)
- Research Methods (Ph.D.)

CONSULTANT

- Government
 - U.S. Dept. of Labor
 - Mathematica (subcontract from U.S. Dept. of Labor)
 - Summit Consulting (subcontract from U.S. Dept. of Labor)
 - Abt Associates (subcontract from U.S. Dept. of Labor)
 - World Bank
 - Berkeley Planning Associates (subcontract from U.S. Dept. of Health and Human Services)
 - Urban Institute (subcontract from U.S. Dept. of Housing and Urban Development)
 - CalTrans
 - OECD

- Nonprofit sector
 - RAND (subcontract to USAID on “Increasing uptake and use of safe water filters at scale”)
 - Aquaya
 - Bill and Melinda Gates Foundation
 - UNICEF
 - Filene Research Institute
 - American Automobile Association
- Private sector
 - UBS
 - Conoco
 - San Francisco Electrical Contractors Association
 - NERA
 - BPI
 - Korean Human Resources Study Group
- Legal consultant
 - Goldman and Goldman
 - Morgenstein & Jubelirer LLP
- Expert Witness
 - Leonard Carder, LLP (Roberts, et al., v. Best Buy Co., Inc.)
 - Gradstein, Luskin & Van Dalsem (Adams v. Home Depot U.S.A., Inc.)
 - Quisenberry Law Firm (Daniel Sepulveda, Anita Perez and Antonio Prangner vs. Wal-Mart Stores, Inc.)
 - Kecker & Van Nest LLP (Tjian v. Westamerica Bancorporation)